

Element Performance Inspection (EPI) Data Collection Tool

1.3.12 SFAR36 (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide policy, procedures, instructions, and/or information, in the SFAR 36 authorized manual, which allows personnel concerned to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the SFAR 36 process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the SFAR 36 process.

Specific Instructions:

- To accomplish this EPI the Inspector shall review the certificate holder's policies and procedures, the SFAR 36 activity report, and review SFAR 36 repair documentation. If available, the Inspector should also review SFAR 36 repairs in progress to determine that the repairs are accomplished in accordance with the engineering data. The Inspector should review the SFAR 36 letter of authority for authorizations to determine adequate engineering and technical personnel are in place for continued eligibility of the SFAR 36 authority.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.9 Engineering / Major Repairs and Alterations (AW)
- 1.3.13 Designated Alteration Station (DAS) (AW)
- 1.3.14 General Maintenance Manual / Equivalent (AW)
- 1.3.17 Weight and Balance Program (AW)
- 2.1.1 Manual Currency (AW)
- 2.1.2 Content Consistency Across Manuals (AW)
- 2.1.3 Distribution (Manuals) (AW)
- 2.1.4 Availability (Manuals) (AW)
- 4.1.1 RII Personnel (AW)
- 4.2.1 Maintenance Training Program (AW)
- 4.2.2 RII Training Requirements (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - SFAR 36(6)(c)
 - SFAR 36.1
 - SFAR 36.10(a)
 - SFAR 36.12(a)
 - SFAR 36.12(b)
 - SFAR 36.12(c)
 - SFAR 36.13(a)
 - SFAR 36.13(b)
 - SFAR 36.13(c)
 - SFAR 36.3(a)(1)
 - SFAR 36.3(a)(2)
 - SFAR 36.3(a)(3)
 - SFAR 36.3(a)(4)
 - SFAR 36.3(b)(1)
 - SFAR 36.3(b)(2)
 - SFAR 36.5(a)(2)
 - SFAR 36.5(a)(3)
 - SFAR 36.5(b)(1)
 - SFAR 36.5(b)(2)
 - SFAR 36.5(b)(3)
 - SFAR 36.5(b)(4)
 - SFAR 36.6(a)(1)
 - SFAR 36.6(a)(2)
 - SFAR 36.6(b)(1)
 - SFAR 36.6(b)(2)(i)
 - SFAR 36.6(b)(2)(ii)
 - SFAR 36.6(b)(3)
 - SFAR 36.7(b)
 - SFAR 36.8
 - SFAR 36.9

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - Intentionally left blank

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the policies, procedures, instructions, and information for the SFAR 36 process contained in the certificate holder's manual.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute sections.
4.	Observe the SFAR 36 process to gain an understanding of the procedures, instructions, and information contained in the certificate holder's manual.
5.	Discuss the SFAR 36 process with the personnel (other than management) who perform the duties and responsibilities required by the process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	<p>Did the certificate holder develop major repair data within the scope and limitations of its SFAR 36 approval?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> Check at the air carrier's records repository and review records to ensure that the technical data generated was for the specific products or articles being repaired. <i>Sources:</i> SFAR 36.3(a)(3) Check at the aircraft that the Certificate Holder has accomplished repairs in accordance with the CAMP approved by the Administrator for the certificate. <i>Sources:</i> SFAR 36.3(a)(4) Check at the Certificate Holder's specified location that records are maintained for each evaluation made to determine, if performing subsequent repairs with the same data on the same type product or article. <i>Sources:</i> SFAR 36.3(b)(2) Check at the Certificate Holder's specified location and verify SFAR 36 authorization is currently effective. <i>Sources:</i> SFAR 36.(7) Check to ensure authorizations under SFAR 36 have only been utilized on products that the Certificate Holder is authorized to maintain pursuant to its continuous airworthiness maintenance program or maintenance manual. <i>Sources:</i> SFAR 36.10(a) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>6. Check at the Certificate Holder's specified location to ensure staff personnel are following the procedures addressing limitations prescribed by the Administrator for their authorization. <i>Sources:</i> SFAR 36.1</p> <p>7. Check at the Certificate Holder's specified location and records repository to determine if the Administrator has ever notified the Certificate Holder that a part was found not to meet applicable airworthiness standards, or unsafe feature or characteristic that was attributable to the repair. <i>Sources:</i> SFAR 36.12(a)</p> <p>8. Check at the Certificate Holder's specified location and records repository that the Certificate Holder maintains, at its facility, current records containing for each product or article for which it has developed and used major repair data, a technical data file that includes all data and amendments thereto (including drawings, photographs, specifications, instructions, and reports) necessary to accomplish the major repair. <i>Sources:</i> SFAR 36.13(a)</p> <p>9. Check at the Certificate Holder's records repository that the Certificate Holder maintains, at its facility, current records containing a list of products or articles by make, model, manufacturer's serial number (including specific part numbers and serial numbers of components) and, if applicable, FAA Technical Standard Order (TSO) or Parts Manufacturer Approval (PMA) identification, that have been repaired under the authorization. <i>Sources:</i> SFAR 36.13(b)</p> <p>10. Check at the Certificate Holder's specified location that the Certificate Holder maintains, at its facility, current records containing a file of information from all available sources on difficulties experienced with products and articles repaired under the authorization. <i>Sources:</i> SFAR 36.13(c)</p>	
1.2.	<p>Did the certificate holder comply with the provisions of its SFAR 36 Procedures Manual?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the aircraft and the records repository that repairs accomplished by the Certificate Holder have been done in accordance with the SFAR procedures manual. <i>Sources:</i> SFAR 36.3(a)(4)</p> <p>2. Check at the Certificate Holder's records repository to ensure that the Certificate Holder has not approved a product or article for return to service unless the Certificate Holder complied with the procedures contained in the procedures manual. <i>Sources:</i> SFAR 36.6(a)(2)</p> <p>3. Check at the Certificate Holder's specified location that the Certificate Holder's procedures manual contains a current "log of revisions" page that identifies each revised item, page, and date of revision, and contains the signature of the person approving the change for the Administrator. <i>Sources:</i> SFAR 36.6(b)(3)</p> <p>4. Check at the Certificate Holder's specified location and verify that current Certificate Holder staffed positions match the positions specified in the approved procedures manual. <i>Sources:</i> SFAR 36.6(c)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

2.	<p>Were the certificate holder's policies, procedures, instructions, and information, contained in its manual, for the SFAR 36 process followed?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier's records repository and review records to ensure that the technical data generated was for the specific products or articles being repaired.</p> <p><i>Sources:</i> SFAR 36.3(a)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the SFAR 36 process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the SFAR 36 process comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the SFAR 36 process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3–6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person that has overall responsibility for the SFAR 36 process.
2.	Identify the person that has overall authority for the SFAR 36 process.
3.	Review the duties and responsibilities for the person(s) who manage the SFAR 36 process documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.
5.	Discuss the SFAR 36 process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the SFAR 36 process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the SFAR 36 process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process	<input type="checkbox"/> Yes

	measurements, and interfaces associated with the SFAR 36 process?	<input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the SFAR 36 process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.